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August 25, 2011

THE REGENTS OF THE UNIVERSITY OF CALIFORNIA

I am pleased to provide the enclosed two compensation reports. Each report, as listed below, includes a cover document detailing the purpose and contents of the report.

- Bi-monthly Transaction Monitoring Report – May 2011
- Report of Actions Taken Under the Delegation of Authority for Recruiting and Negotiation Parameters for Certain Athletic Positions and Coaches, Systemwide – May 2011

Please let me know if you have questions.

With best wishes, I am,

Sincerely yours,

A handwritten signature in black ink, appearing to read "Mark G. Yudof".

Mark G. Yudof
President

Enclosures

cc: Chancellors

BI-MONTHLY TRANSACTION MONITORING REPORT – May 2011

At the September 2008 Regents' meeting The Board of Regents approved item C8, COMPENSATION APPROVAL AUTHORITY AND GOVERNANCE FOR THOSE POSITIONS SLOTTED IN THE SENIOR LEADERSHIP COMPENSATION GROUP SALARY RANGE STRUCTURE AND OTHER SPECIFIED EMPLOYEES. Included in this item under Section (2) is the requirement of a bi-monthly transaction monitoring report "as a key component of [the] governance model" described in that item. This report will display "all compensation actions, including exceptions under current policy or actions not expressly stated in policy," for the population described in the item as:

- (a) Non-SMG employees whose positions have been slotted in the Senior Leadership Compensation Group Salary Range Structure,
- (b) Non-SMG employees not subject, exclusively, to the provisions of the Academic Personnel Manual, and
- (c) Other Specified employees (OSE), as designated by the Office of the President Human Resources, such as Athletic Directors and Coaches.

Attached is the May 2011 Bi-Monthly Transaction Monitoring Reports which includes actions taken locally by the Chancellors and the Laboratory Director on behalf of the locations over a two month period of time prior to each Regents' meeting. To meet the internal deadlines required to collect information and present it to the Regents, the reporting period has been adjusted slightly. Reportable actions will consistently cover a two month period of time and be between the 1st of the first month and the last day of the 2nd month being reported. The attached report includes actions taken under the delegation of authority between and inclusive of February 1, 2011 – March 31, 2011.

This report is comprised of individual actions from the Lawrence Berkeley National Laboratory, Berkeley, Davis, Irvine, Los Angeles, Office of the President, San Diego, and San Francisco locations. The report is organized by location. For each location there is a report of actions and an addendum of footnotes, as appropriate, with additional information.

(Attachments)



May 2011 Regents' Meeting
Bi-monthly Transaction Monitoring Report
Reporting Period: February 1, 2011 - March 31, 2011
Lawrence Berkeley National Laboratory

APPROVED: NEW ACTING APPOINTMENT STIPEND

Location	Employee Name	Title	SLCG Grade	Previous Annual Base Salary	New Annual Base Salary	Former Incumbent's Salary	Salary Range Min	Salary Range Mid	Salary Range Max	% of Midpoint (CR)
LBNL	Gary Karpen	Acting Scientific Division Director - Life Sciences Division	LBNL Grade N16		\$217,488	\$321,324	\$178,164	\$273,978	\$369,792	79.4%
	Previous Status:	Biologist Senior Scientist/Engineer	LBNL Grade 005	\$217,488		N/A	\$102,960	\$175,020	\$247,080	124.3%
	Effective Date:	1/1/2011	Approval Date:	2/8/2011	Approved By: Mark Yudof, President - University of California					
	End Date:	12/31/2011	Reports To: A. Paul Alivisatos, Laboratory Director							

<u>Item Detail</u>	<u>Previous</u>	<u>Approved</u>	<u>Percent Change</u>	<u>Exception to Policy</u>
Annual Base Salary	\$217,488	\$217,488	0.0%	No
Stipend*	\$0	\$32,623	N/A	No
Total Cash Compensation (TCC)	\$217,488	\$250,111	15.0%	No
Appointment Percentage	100%	100%	n/a	No
Standard pension and health and welfare benefits	Yes	Yes	n/a	No

*See Footnote in the Addendum



May 2011 Regents' Meeting
Addendum to Bi-Monthly Transaction Monitoring Report
Reporting Period: February 1, 2011 – March 31, 2011
Lawrence Berkeley National Laboratory

Gary Karpen
Acting Scientific Division Director – Life Sciences Division

LBNL

Compensation Element

Amount

Campus Comments

Stipend

\$32,623

Per policy, an administrative stipend of 15 percent (\$32,623) to be effective January 1, 2011, in recognition of additional duties as Acting Scientific Division Director, Life Sciences Division. Dr. Karpen has been selected to temporarily fill the role left vacant by the sudden departure of Dr. Joe Gray, who left the Lawrence Berkeley National Laboratory to head the newly created Center for Spatial Biomedicine at Oregon Health & Science University's Knight Cancer Institute and School of Medicine. The stipend will continue until the earlier of 12 months from the effective date, or until a permanent Scientific Division Director, Life Sciences Division is appointed.

Although the Laboratory submitted the item for approval in January 2011, the review process was delayed and the item was not presented to the President for approval until February 2011. The stipend amount is within policy, but the retroactive date is an exception to policy, which the President had the authority to approve.



May 2011 Regents' Meeting
Bi-monthly Transaction Monitoring Report
Reporting Period: February 1, 2011 - March 31, 2011
Berkeley Campus

APPROVED: Salary Adjustment - Retention

Location	Employee Name		Salary Grade	Previous Annual Base Salary	New Annual Base Salary	Former Incumbent's Salary	Salary Range Min	Salary Range Mid	Salary Range Max	% of Midpoint (CR)
UCB	David Blinder	Associate Vice Chancellor - University Relations	SLCG Grade107		\$280,000		\$172,300	\$218,700	\$265,000	128.0%
	Previous Status:	Associate Vice Chancellor - University Relations	SLCG Grade107	\$240,000			\$172,300	\$218,700	\$265,000	109.7%
Effective Date:		2/1/2011	Approval Date:		1/25/2011		Approved By: Robert J. Birgeneau, Chancellor			
End Date:		Indefinite	Reports To: F. Scott Biddy, Vice Chancellor - University Relations							

Item Detail	Previous	Approved	Percent Change	Exception to Policy
Annual Base Salary*	\$240,000	\$280,000	16.7%	Yes
Total Cash Compensation	\$240,000	\$280,000	16.7%	No
Appointment Percentage	100%	100%	0%	No
Standard pension and health and welfare benefits	Yes	Yes	N/A	No

* See Footnotes in the Addendum



May 2011 Regents' Meeting
Addendum to Bi-Monthly Transaction Monitoring Report
Reporting Period: February 1, 2011 – March 31, 2011
Berkeley Campus

David Blinder

UCB

Associate Vice Chancellor – University Relations

Compensation Element

Annual Base Salary

Amount

\$280,000

Campus Comments

As an exception to policy, a salary adjustment of 16.7 percent increasing his salary from \$240,000 to \$280,000. The increase constitutes an exception to policy because the annual base salary of \$280,000 exceeds the maximum for SLCG Grade 107 (Minimum \$172,300, Midpoint \$218,700, Maximum \$265,000). The salary adjustment is justified by the scope of Mr. Blinder's responsibilities relative to his peers in the UC system, his achievements during the four years he has been on the Berkeley campus, and calibration of his experience and position in the market of fundraising professionals. Also, Mr. Blinder is being recruited aggressively by other organizations for high-level positions. In addition, he is also being recruited aggressively by the Irvine campus for the position of Vice Chancellor – University Relations. The campus offered him over \$300,000 in base salary.

There have been several recruitments for Vice Chancellors – University Relations in the UC system during the past four years. The average base salary for the Vice Chancellors – University Relations position at the other UC Location is \$250,000. Each of these positions has a comparable level of responsibility and complexity to Mr. Blinder's position. Of the UC campuses, Berkeley is always at or near the top in dollars raised annually; the UC Berkeley Foundation is the largest of the campus foundations in assets and board size; and the Berkeley academic enterprise is more highly ranked and more demanding than any other campus. As UC Berkeley comes to rely more on private support, professional development leaders like Mr. Blinder are critical to the campus ability to maximize their philanthropy.

As the Associate Vice Chancellor – University Relations, he is responsible for all the major campaign initiatives across the campus. Such major initiatives include the launch of the Southern California, New York, and Silicon Valley regions with their attendant volunteer structures, event and program schedules, and major-gift portfolio allocation and staffing. Other critical initiatives that he is responsible for developing and implementing includes strategic development of the Principal Gifts program, the launch of the campus's first New Alumni Challenge to increase giving in recent graduates, and the formation of the Campaign Steering Committee of the UC Berkeley Foundation. David is also responsible for providing the leadership and the support to fulfill the Hewlett Challenge of establishing 100 endowed chairs across the campus. The campus is currently at 80 chairs after three years of the challenge.



May 2011 Regents' Meeting
Bi-monthly Transaction Monitoring Report
Reporting Period: February 1, 2011 through March 31, 2011
Davis Campus

APPROVED: Reclassification and Equity Adjustment

Location	Employee Name	Title	Salary Grade	Previous Annual Base Salary`	New Annual Base Salary	Former Incumbent's Salary	Salary Range Min	Salary Range Mid	Salary Range Max	% of Midpoint (CR)
UCD	Michael Boyd	Director - Facilities	MSP Grade 8 - not slotted in SLCG		\$228,600	N/A	\$114,024	\$185,292	\$256,560	123.4%
	Previous Status:	Executive Director - Facilities	MSP Grade 8 - not slotted in SLCG	\$206,000		N/A	\$114,024	\$185,292	\$256,560	111.2%
	Effective Date:	3/4/2011	Approval Date:	3/4/2011	Approved By: Chancellor Katehi					
	End Date:	N/A	Reports To: Vincent Johnson, Chief Operating Officer							

<u>Item Detail</u>	<u>Previous</u>	<u>Approved</u>	<u>Percent</u>	<u>Exception to Policy</u>
Annual Base Salary	\$206,000	\$228,600	11.0%	No
Clinical Enterprise Management Recognition Plan - at 15 percent target rate	\$30,900	\$34,290	11.0%	No
Total Cash Compensation (TCC)	\$236,900	\$262,890	11.0%	No
Appointment Percentage	100%	100%	n/a	No
Standard pension and health and welfare benefits	Yes	Yes	n/a	No

*See Footnotes in the Addendum



May 2011 Regents' Meeting
 Bi-monthly Transaction Monitoring Report
 Reporting Period: February 1, 2011 through March 31, 2011
 Davis Campus

APPROVED: Equity Adjustment

Location	Employee Name	Title	Salary Grade	Previous Annual Base Salary*	New Annual Base Salary	Former Incumbent's Salary	Salary Range Min	Salary Range Mid	Salary Range Max	% of Midpoint (CR)
UCD	Debra Gage	Director - Clinical Operations and Managed Care	MSP Grade 8 - not slotted in SLCG		\$217,375	N/A	\$114,024	\$185,292	\$256,560	117.3%
	Previous Status:	Director - Clinical Operations and Managed Care	MSP Grade 8 - not slotted in SLCG	\$196,268		N/A	\$114,024	\$185,292	\$256,560	105.9%
	Effective Date:	3/4/2011	Approval Date:	3/4/2011	Approved By: Chancellor Katehi					
	End Date:	N/A			Reports To: Vincent Johnson, Chief Operating Officer					

<u>Item Detail</u>	<u>Previous</u>	<u>Approved</u>	<u>Percent</u>	<u>Exception to Policy</u>
Annual Base Salary	\$196,268	\$217,375	10.8%	No
Clinical Enterprise Management Recognition Plan - at 15 percent target rate	\$29,440	\$32,606	10.8%	No
Total Cash Compensation (TCC)	\$225,708	\$249,981	10.8%	No
Appointment Percentage	100%	100%	n/a	No
Standard pension and health and welfare benefits	Yes	Yes	n/a	No

*See Footnotes in the Addendum



May 2011 Regents' Meeting
Bi-monthly Transaction Monitoring Report
Reporting Period: February 1, 2011 through March 31, 2011
Davis Campus

APPROVED: Reclassification and Promotional Increase

Location	Employee Name	Title	Salary Grade	Previous Annual Base Salary	New Annual Base Salary	Former Incumbent's Salary	Salary Range Min	Salary Range Mid	Salary Range Max	% of Midpoint (CR)
UCD	Robert Taylor	Director - Administrative and Professional Services	MSP Grade 8 - not slotted in SLCG		\$217,375	N/A	\$114,024	\$185,292	\$256,560	117.3%
	Previous Status:	Assistant Director - Administrative and Professional Services	MSP Grade 7 - not slotted in SLCG	\$190,680		N/A	\$103,764	\$168,612	\$233,472	113.1%
	Effective Date:	3/4/2011	Approval Date:	3/4/2011	Approved By: Chancellor Katehi					
	End Date:	N/A	Reports To: Vincent Johnson, Chief Operating Officer							

<u>Item Detail</u>	<u>Previous</u>	<u>Approved</u>	<u>Percent Change</u>	<u>Exception to Policy</u>
Annual Base Salary	\$190,680	\$217,375	14.0%	No
Clinical Enterprise Management Recognition Plan - at 15 percent target rate	\$28,602	\$32,606	14.0%	No
Total Cash Compensation (TCC)	\$219,282	\$249,981	14.0%	No
Appointment Percentage	100%	100%	n/a	No
Standard pension and health and welfare benefits	Yes	Yes	n/a	No

*See Footnotes in the Addendum



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Addendum to Bi-Monthly Transaction Monitoring Report
Reporting Period: February 1, 2011 – March 31, 2011
Davis Campus

Name: Michael Boyd		UCD
Title: Director – Facilities – Medical Center		
<u>Compensation Element</u>	<u>Amount</u>	<u>Campus Comments</u>
Annual Base Salary	\$228,600	<p>Per policy, reclassification from Executive Director (0161) – Facilities, MSP Grade 8, to Director (0245) – Facilities, MSP Grade 8. The campus has moved away from using title code 0161. Mike Boyd's position has the same reporting relationship and same level of Health System-wide responsibility as the other Director positions. Mr. Boyd's is the last position in 0161 and in order to ensure consistency with the other similar positions within the medical center, the position was reclassified to 0245.</p> <p>In addition, an 11 percent equity adjustment increasing his base salary from \$206,000 to \$228,600 to recognize Mr. Boyd's acquisition of responsibility for the Plant Operations & Maintenance, Grounds Maintenance, Central Plant Operations and Clinical Engineering Departments, in addition to his current responsibility for Facilities Planning and Facilities Design and Construction effective March 4, 2011.</p>
Clinical Enterprise Management Recognition Plan	\$34,290	<p>Per policy, eligible to participate in the Clinical Enterprise Management Recognition Plan for an annual performance-based incentive, with a target rate of 15 percent (\$34,290) and a maximum rate of 25 percent (\$57,150). Actual award depends on performance against pre-established goals and objectives.</p>
Name: Debra Gage		UCD
Title: Director, Clinical Operations and Managed Care		
<u>Compensation Element</u>	<u>Amount</u>	<u>Campus Comments</u>
Annual Base Salary	\$217,375	<p>Per policy, a 10.8 percent equity adjustment to recognize Ms. Gage's acquisition of responsibility for the Supply Chain Management and Purchasing departments in addition to her current responsibility for the Ambulatory Care Clinics,</p>



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Davis Campus

Primary Care Network, Home Care/Hospice, and Managed Care departments.

Clinical Enterprise Management Recognition Plan \$32,606

Per policy, eligible to participate in the Clinical Enterprise Management Recognition Plan for an annual performance-based incentive, with a target rate of 15 percent (\$32,606) and a maximum rate of 20 percent (\$43,475). Actual award depends on performance against pre-established goals and objectives.

Name: Robert Taylor
Title: Director, Administrative and Professional Services

UCD

<u>Compensation Element</u>	<u>Amount</u>	<u>Campus Comments</u>
Annual Base Salary	\$217,375	Per policy, reclassification from (0259) Assistant Director, MSP Grade 7, to (0245) Director, MSP Grade 8 and a 14 percent promotional increase to recognize Mr. Taylor's acquisition of sole responsibility for Professional and Support Services. Previously, Mr. Taylor had reported to the Senior Administrative & Professional Services Officer who had final accountability for this area. Mr. Taylor now reports to the Chief Operating Officer.
Clinical Enterprise Management Recognition Plan	\$32,606	Per policy, eligible to participate in the Clinical Enterprise Management Recognition Plan for an annual performance-based incentive, with a target rate of 15 percent (\$32,606) and a maximum rate of 20 percent (\$43,475). Actual award depends on performance against pre-established goals and objectives.



May 2011 Regents' Meeting
Bi-monthly Transaction Monitoring Report
Reporting Period: February 1, 2011 - March 31, 2011
Irvine Campus

APPROVED: Stipend

Location	Employee Name	Title	SLCG Grade	Previous Base Salary	New Total Annual Salary	Former Incumbent's Salary	Salary Range Min	Salary Range Mid	Salary Range Max	% of Midpoint (CR)
UCI	Kurt E. Stauder	Executive Director - University Physicians & Surgeons	MSP 51		\$238,000		\$140,100	\$189,135	\$238,170	132.1%
		Executive Director - University Physicians & Surgeons	MSP 51	\$238,000			\$140,100	\$189,135	\$238,170	125.8%
	Previous Status:									
	Effective Date:	1/1/2011	Approval Date:	3/1/2011	Approved By: Chancellor Michael V. Drake, M.D.					
	End Date:	6/30/2011	Reports To: Terry A. Belmont, Interim Chief Executive Officer							

<u>Item Detail</u>	<u>Previous</u>	<u>Approved</u>	<u>Percent Change</u>	<u>Exception to Policy</u>
Annual Base Salary	\$238,000	\$238,000	0%	No
Annualized Stipend*	N/A	\$11,900	N/A	No
Clinical Enterprise Management Recognition Plan* (15% target)	\$37,500	\$37,500	0%	No
Total Cash Compensation	\$275,500	\$287,400	4.3%	No
Appointment Percentage	100%	100%	N/A	No
Standard pension and health and welfare benefits	Yes	Yes	N/A	No

*See Footnote in the Addendum



May 2011 Regents' Meeting
Addendum to Bi-Monthly Transaction Monitoring Report
Reporting Period: February 1, 2011 – March 31, 2011
Irvine Campus

Kurt E. Stauder
Executive Director - University Physicians & Surgeons

UCI

<u>Compensation Element</u>	<u>Amount</u>	<u>Campus Comments</u>
Stipend	\$11,900	<p>Per policy, an administrative stipend of 5 percent of base salary. Mr. Stauder has assumed additional responsibilities including oversight of call centers, contracting for physician professional services, managed care, credentialing, compliance, and physician billing. The approved stipend is for the period of January 1, 2011 to June 30, 2011. The stipend was approved by the Chancellor on March 1, 2011.</p> <p>Mr. Stauder is performing work at the level of SLCG Grade 108 (Minimum \$192,300, Midpoint \$244,900, and Maximum \$297,400), which is the former incumbent grade level. The combined total of the base salary (\$238,000) and annualized stipend (\$11,900) of \$249,900 does not exceed the maximum range of SLCG Grade 108; therefore is within policy.</p> <p>While the retroactive approval of the stipend is considered an exception to policy, the Chancellor has the delegated authority to approve the action.</p>
Clinical Enterprise Management Recognition Plan	\$35,700	<p>Per policy, eligible to participate in the Clinical Enterprise Management Recognition Plan with a target potential rate of 15 percent and a maximum potential rate of 25 percent of base salary. Actual payout is based on performance related to pre-established goals and objectives.</p>



May 2011 Regents' Meeting
Bi-monthly Transaction Monitoring Report
Reporting Period: February 1, 2011 - March 31, 2011
Los Angeles Campus

APPROVED: Retention Increase

Location	Employee Name	Title	SLCG Grade	Previous Annual Base Salary	New Annual Base Salary	Former Incumbent's Salary	Salary Range Min	Salary Range Mid	Salary Range Max	% of Midpoint (CR)
UCLA	Marcia Smith	Associate Vice Chancellor--Research Administration	Not slotted in SLCG, MSP Grade 7		\$239,200	N/A	\$106,300	\$172,800	\$239,200	138.4%
	Previous Title:	same as above	Not slotted in SLCG, MSP Grade 7	\$225,000		N/A	\$106,300	\$172,800	\$239,200	130.2%
	Effective Date:	3/1/2011	Approval Date:	3/1/2011	Approved By: Chancellor Gene D. Block					
	End Date:	N/A	Reports To: Vice Chancellor James Economou, Research							

<u>Item Detail</u>	<u>Previous</u>	<u>Approved*</u>	<u>Percent Change</u>	<u>Exception to Policy</u>
Annual Base Salary*	\$225,000	\$239,200	6.3%	No
Total Cash Compensation (TCC)	\$225,000	\$239,200	6.3%	No
Appointment Percentage	100%	100%	N/A	No
Standard pension and health and welfare benefits	Yes	Yes	N/A	No

*See Footnotes in the Addendum.



May 2011 Regents' Meeting
Bi-monthly Transaction Monitoring Report
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Los Angeles Campus

APPROVED: Promotional Increase

Location	Employee Name	Title	SLCG Grade	Previous Annual Base Salary	New Annual Base Salary	Former Incumbent's Salary	Salary Range Min	Salary Range Mid	Salary Range Max	% of Midpoint (CR)
UCLA	Jody Gaspar	Chief Operating Officer, UCLA Faculty Practice Group	Not slotted in SLCG, MSP Grade 8		\$240,000	\$238,200	\$116,800	\$190,000	\$263,000	128.3%
	Previous Title	Director of Finance—Faculty Practice Group/Interim COO	Not slotted in SLCG, MSP Grade 6	\$173,400			\$97,400	\$136,400	\$175,300	127.1%
	Effective Date:	3/13/2011	Approval Date:	3/13/2011	Approved By: Chancellor Gene D. Block					
	End Date:	N/A	Reports To: Chief Information Officer Virginia McFerran, UCLA Health System							

<u>Item Detail</u>	<u>Previous</u>	<u>Approved*</u>	<u>Percent Change</u>	<u>Exception to Policy</u>
Annual Base Salary*	\$173,400	\$240,000	38.4%	Yes
Stipend (15%)*	\$26,000	N/A	N/A	No
Clinical Enterprise Management Recognition Plan - at target rate (previous target rate is 6% and new target rate is 15%)*	\$10,404	\$36,000	246.0%	No
Total Cash Compensation (TCC)	\$209,804	\$255,285	21.7%	No
Appointment Percentage	100%	100%	0.0%	No
Standard pension and health and welfare benefits	Yes	Yes	N/A	No

*See Footnotes in the Addendum.



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Addendum to Bi-Monthly Transaction Monitoring Report
Reporting Period: February 1, 2011 – March 31, 2011
Los Angeles Campus

Marcia Smith
Associate Vice Chancellor--Research Administration

UCLA

<u>Compensation Element</u>	<u>Amount</u>	<u>Campus Comments</u>
Annual Base Salary	\$239,200	A pre-emptive retention increase of 6.3% was approved, resulting in an annual base salary change from \$225,000 to \$239,200. Ms. Smith's experience and background in the research administration field are highly sought after in higher education and she had been approached by another institution in Northern California with recruitment underway. Her retention is critical for the Research Administration division to ensure the continued effectiveness of operations.

Jody Gaspar
Chief Operating Officer, UCLA Faculty Practice Group

UCLA

<u>Compensation Element</u>	<u>Amount</u>	<u>Campus Comments</u>
Annual Base Salary	\$240,000	Promotion from Director of Finance for the Faculty Practice Group (FPG) to Chief Operating Officer (COO), with an annual base salary of 240,000 effective March 13, 2011. The position is classified at Grade 8 in the Management and Senior Professional Program, whereas the previous incumbent was in the Senior Management Group. This constitutes an exception to policy because the salary increase exceeds the 25 percent limit allowed under Personnel Policies for Staff Members: 30.Salary.
Stipend	\$26,000	Ms. Gaspar received a 15% stipend as interim Chief Operating Officer, for an annual salary of \$199,400, following the departure of COO J. Shultz. The stipend was effective April 1,



**May 2011 Regents' Meeting
Addendum to Bi-Monthly Transaction Monitoring Report
Reporting Period: February 1, 2011 – March 31, 2011
Los Angeles Campus**

Clinical Enterprise Management Recognition Plan \$36,000

2010 through March 12, 2011. Temporary stipend of 15% was discontinued upon the Chancellor's approval of the promotional action on March 13, 2011.

Per policy, eligible to participate in the Clinical Enterprise Management Recognition Plan for an annual performance-based incentive, with a target rate of 15 percent (\$36,000) and a maximum rate of 25 percent (\$60,000). Actual award depends on performance against pre-established goals and objectives.

Ms. Gaspar's previous CEMRP target potential rate was 6% and maximum potential rate was 10% as the former Director of Finance--Faculty Practice Group.



May 2011 Regents' Meeting
Bi-monthly Transaction Monitoring Report
Reporting Period: February 1, 2011- March 31, 2011
Office of the President

APPROVED: Appointment and Compensation

Location	Employee Name	Title	SLCG Grade	Previous Annual Base Salary	New Annual Base Salary	Former Incumbent's Salary	Salary Range Min	Salary Range Mid	Salary Range Max	% of Midpoint (CR)
UCOP	Hobson, Rudy (Myung Sin) Previous Status:	Investment Officer, Externally Managed Equity Investments New Hire	MSP V/SLCG Grade 106	n/a	\$180,438	\$180,438	\$154,200	\$195,200	\$236,100	92.4%
Effective Date: 3/21/2011 End Date: indefinite				Approval Date: 03/14/2011		Approved By: President Yudof Reports To: Senior Managing Director, Externally Managed Equity Investments, Coacker				

<u>Item Detail</u>	<u>Previous</u>	<u>Approved</u>	<u>Percent Change</u>	<u>Exception to Policy</u>
Annual Base Salary*	N/A	\$180,438	N/A	No
Treasurer's Annual Incentive Plan (at target rate 35%)*	N/A	\$63,153	N/A	No
Total Cash Compensation (TCC)	N/A	\$243,591	N/A	No
Appointment Percentage	N/A	100%	N/A	No
Standard pension and health and welfare benefits	N/A	Yes	N/A	No

*See Footnote in the Addendum



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Addendum to Bi-Monthly Transaction Monitoring Report
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Office of the President**

Hobson, Rudy (Myung Sin)
Investment Officer, Externally Managed Equity Investments

UCOP

<u>Compensation Element</u>	<u>Amount</u>	<u>Campus Comments</u>
Annual Based Salary	\$180,438	Per policy, appointment of \$180,438 is 1.6% above the median base salary of the market (\$177,600), as reported by the Mercer Assessment of the Competitive Compensation conducted in April 2010. This market data reflects the extremely competitive market for this level of talent in investment management. The proposed base salary is 7.6% below the SLCG 106 range midpoint and is a comparable salary to that of other Investment Officers in other asset classes in the office.
Treasurer's AIP	\$63,153	Per policy, eligibility to participate in the University of California Office of the Treasurer Annual Incentive Plan with a target award amount of 35% of base salary (\$63,153) and a maximum potential award of 70% of base salary (\$126,307). Actual award depends on performance against pre-established goals and objectives



May 2011 Regents' Meeting
Bi-monthly Transaction Monitoring Report
Reporting Period: February 1, - March 31, 2011
San Diego Campus

APPROVED: Appointment and Compensation

Location	Employee Name	Title	SLCG Grade	Previous Annual Base Salary	New Annual Base Salary	Former Incumbent's Salary	Salary Range Min	Salary Range Mid	Salary Range Max	% of Midpoint (CR)
UCSD	Marina Baroff	Associate Administrator	NS/MSP C		\$220,000	\$212,700	\$111,500	\$166,700	\$221,900	132.0%
		Vice President/Chief Operations Executive - Scripps Medical Center	N/A	\$250,000						
	Previous Status:									
	Effective Date: 6/6/2011	Approval Date: 2/19/2011				Approved By: Marye Anne Fox				
	End Date: Indefinite					Reports To: Mona Sonnenshein, COO				

<u>Item Detail</u>	<u>Previous</u>	<u>Approved</u>	<u>Percent Change</u>	<u>Exception to Policy</u>
Annual Base Salary*	\$250,000	\$220,000	-12.0%	No
Clinical Enterprise Management Recognition Plan - at 15 percent target rate*	\$0	\$33,000	N/A	No
Bonus*	\$50,000	\$0	N/A	N/A
Total Cash Compensation	\$300,000	\$253,000	-15.7%	No
Appointment Percentage	100%	100%	0.0%	No
Standard pension and health and welfare benefits	Yes	Yes	N/A	No

*See Footnote in the Addendum



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San Diego Campus

Marina Baroff
Associate Administrator

UCSD

<u>Compensation Element</u>	<u>Amount</u>	<u>Campus Comments</u>
Base salary	\$220,000	<p>Per policy, an annual base salary of \$220,000 at MSP C (Minimum \$111,500, Midpoint \$166,700, Maximum \$221,900). The annual base salary is 0.9 percent below the maximum salary range for grade MSP C. According to the 2010 Sullivan Cotter Healthcare Leadership Compensation Survey the 50th percentile rate for the position of Top Professional Services is \$209,543. The annual base salary is 5 percent above the market median.</p> <p>Ms. Baroff is an external candidate replacing the prior incumbent, Dennis Moran who separated from the University on June 29, 2011. Ms. Baroff's is a highly qualified candidate with over 25 years of Healthcare Administrative experience. Her vast experience includes leading strategic planning efforts, financial management, governance and relationship management for medical groups, managed care organizations and hospitals. Given her experience, the campus feels that the base salary of \$220,000 is appropriate.</p>
Clinical Enterprise Management Recognition Plan	\$ 33,000	<p>Per policy, eligible to participate in the Clinical Enterprise Management Recognition Plan for an annual performance-based incentive, with a target rate of 15 percent (\$33,000) and a maximum rate of 20 percent (\$44,000). Actual award depends on performance against pre-established goals and objectives.</p>
Bonus	\$50,000	<p>When Ms. Baroff was employed at Scripps Medical Center, she was eligible for a 20 percent bonus opportunity of her annual base salary of \$250,000 as the Vice President/Chief Operations Executive.</p>



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APPROVED: Promotional Appointment and Compensation

Location	Employee Name	Title	SLCG Grade	Previous Base Salary	New Annual Base Salary	Former Incumbent's Salary	Salary Range Min	Salary Range Mid	Salary Range Max	% of Midpoint (CR)
UCSF	Ellis, John	Associate Vice Chancellor/Controller (UCSF)	MSP 7, not slotted in SLCG grade		\$235,000	\$235,000	\$147,500	\$199,100	\$250,800	118.0%
		Associate Vice Chancellor Finance/Controller/Accounting Manager 4 (UCB)	Grade 29 (Career Compass)	\$180,728			130,700	183,000	235,300	98.8%
		Previous Status: Transfer from UCB to UCSF								
Effective Date: 2/1/11		Approval Date: 1/7/11		Approved By: Chancellor Susan Desmond-Hellmann						
End Date: Indefinite		Reports To: Associate Vice Chancellor-Finance Eric Vermillion								

<u>Item Detail</u>	<u>Previous</u>	<u>Approved</u>	<u>Percent Change</u>	<u>Exception to Policy</u>
Annual Base Salary*	\$180,728	\$235,000	30.0%	Yes
Total Cash Compensation (TCC)	\$180,728	\$235,000	30.0%	No
Appointment Percentage	100%	100%	NA	No
Standard pension and health and welfare benefits	Yes	Yes	NA	No

*See Footnotes in the Addendum



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APPROVED: Promotional Appointment and Compensation

Location	Employee Name	Title	SLCG Grade	Previous Base Salary	New Annual Base Salary	Former Incumbent's Salary	Salary Range Min	Salary Range Mid	Salary Range Max	% of Midpoint (CR)
UCSF	Hawkins, Angela	Associate Vice Chancellor-Campus Life, Facilities, and Administrative Services	MSP 9, not slotted in SLCG grade		\$252,600	\$235,000	\$195,100	\$263,300	\$331,700	95.9%
	Previous Status:	Assistant Vice Chancellor-Budget and Resource Management	MSP 7, SLCG 105	\$210,400			138,200	174,300	210,400	120.7%
	Effective Date:	3/1/11	Approval Date:	2/14/11	Approved By: Chancellor Susan Desmond-Hellmann					
	End Date:	Indefinite			Reports To: Senior Vice Chancellor John Plotts					

<u>Item Detail</u>	<u>Previous</u>	<u>Approved</u>	<u>Percent Change</u>	<u>Exception to Policy</u>
Annual Base Salary*	\$210,400	\$252,600	20.1%	No
Total Cash Compensation (TCC)	\$210,400	\$252,600	20.1%	No
Appointment Percentage	100%	100%	NA	No
Standard pension and health and welfare benefits	Yes	Yes	NA	No

*See Footnotes in the Addendum



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APPROVED: Appointment

Location	Employee Name	Title*	SLCG Grade	Previous Base Salary	New Annual Base Salary	Former Incumbent's Salary	Salary Range Min	Salary Range Mid	Salary Range Max	% of Midpoint (CR)
UCSF	Odato, David	Associate Vice Chancellor-Human Resources/Medical Center Chief Administrative Officer	MSP 10		\$319,000		\$224,300	\$302,800	\$381,400	105.4%
	Previous Status:	Medical Center Chief Administrative and Human Resources Officer	SLCG Grade 108	\$319,000			\$192,300	\$224,900	\$297,400	141.8%
	Effective Date:	3/2/11	Approval Date:	3/3/11	Approved By: Chancellor Susan Desmond-Hellmann Reports To: Senior Vice Chancellor John Plotts; Vice Provost-Academic Affairs Sally Marshall; Chief Executive Officer Mark Laret					
	End Date:	Indefinite								

<u>Item Detail</u>	<u>Previous</u>	<u>Approved</u>	<u>Percent Change</u>	<u>Exception to Policy</u>
Annual Base Salary*	\$319,000	\$319,000	0.0%	No
Clinical Enterprise Management Recognition Program (15% target)*	\$47,850	\$47,850	0.0%	No
Total Cash Compensation (TCC)	\$366,850	\$366,850	0.0%	No
Appointment Percentage	100%	100%	NA	No
Standard pension and health and welfare benefits	Yes	Yes	NA	No

*See Footnotes in the Addendum



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APPROVED: Equity Increase and Stipend

Location	Employee Name	Title	SLCG Grade	Previous Base Salary	New Annual Base Salary	Former Incumbent's Salary	Salary Range Min	Salary Range Mid	Salary Range Max	% of Midpoint (CR)
UCSF	Skinner, Clifford	Director-Medical Group Business Services, School of Medicine	MSP 6, not slotted in SLCG grade		\$195,000	NA	\$128,200	\$173,100	\$218,100	112.7%
	Previous Status:	Director-Medical Group Business Services, School of Medicine	MSP 6, not slotted in SLCG grade	\$179,400			\$128,200	\$173,100	\$218,100	103.6%
Effective Date: 12/22/10*		Approval Date: 3/22/11		Approved By: Chancellor Susan Desmond-Hellmann						
End Date: 6/30/11		Reports To: Vice Dean-School of Medicine Mike Hindery								

<u>Item Detail</u>	<u>Previous</u>	<u>Approved</u>	<u>Percent Change</u>	<u>Exception to Policy</u>
Annual Base Salary*	\$179,400	\$195,000	8.7%	No
Stipend*	\$26,910	\$29,250	8.7%	Yes
Total Cash Compensation (TCC)*	\$206,310	\$224,250	8.7%	No
Appointment Percentage	100%	100%	NA	No
Standard pension and health and welfare benefits	Yes	Yes	NA	No

*See Footnotes in the Addendum



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ELLIS, JOHN
Associate Vice Chancellor/Controller

UCSF

<u>Compensation Element</u>	<u>Amount</u>	<u>Campus Comments</u>
Annual Base Salary	\$235,000	<p>Promotional appointment and compensation: As an exception to policy, annual base salary of \$235,000 for the appointment of John Ellis, effective February 1, 2011. This is an exception to PPSM 30.H. because the salary increase is 30 percent above his former UCB salary of \$180,728. This exception to policy was approved by the Chancellor on January 7, 2011.</p> <p>The scope, responsibilities, MSP grade, and salary level for the Assistant Vice Chancellor/Controller position are consistent with those of the former incumbent, Assistant Vice Chancellor/Controller Cecilia Hamilton. Since the compensation elements remain status quo, the proposed annual salary for Mr. Ellis is within the grade range, and the candidate has extensive experience, the requested salary is appropriate. The 2009 CUPA Administrative Salary Survey Full Comparison Group reports a median salary for this benchmark at \$198,550. Indexing that figure to the present yields a median pay of \$210,642. Given the significant breadth of experience offered by Mr. Ellis, a positive relationship to that median is appropriate.</p> <p>In addition, the base salary of \$235,000 is appropriate and comparable to a similar position at UCSF Medical Center. The Medical Center - Finance Director annual base salary (\$234,500) is equivalent to the Controller position; however, the Controller position has a greater scope of responsibility with a staff of ~150 versus ~40 for the Medical Center-Finance Director. According to the executive search firm that was used, the \$235,000 salary was at the low end of what the market place is calling for right now for controller positions of complex and large institutions with multiple and complex funding sources like an academic health center.</p>



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Under the general direction of the Associate Vice Chancellor-Finance, the Controller maintains accountability of the financial resources of UCSF and has the authority to direct campus Control Point and departmental financial managers to implement University and campus accounting policies and procedures. The Controller has line responsibility for management and oversight of the campus' core financial and accounting activities, payroll operations, and financial internal control and accountability operations. Mr. Ellis serves as the primary campus liaison with the University Controller and is a member of the UC Systemwide controller's group, the Associate Vice Chancellor-Finance's Leadership Group, the campus Audit Committee, and the campus Investigations Group (I Group). After an extensive search, Mr. Ellis emerged as the final candidate and was promoted from his position as UCB Associate Vice Chancellor-Finance/ Controller/Accounting to the UCSF Associate Vice Chancellor/ Controller position. The annual base salary is 18.0% above the mid-point of the MSP 7 grade range.

HAWKINS, ANGELA UCSF
 Associate Vice Chancellor-Campus Life, Facilities, and Administrative Services

<u>Compensation Element</u>	<u>Amount</u>	<u>Campus Comments</u>
Annual Base Salary	\$252,600	<p>Promotional appointment and compensation: Per policy, annual base salary of \$252,600 for the appointment of Angela Hawkins, effective March 1, 2011. This increase is approximately 20.1 percent above her former UCSF salary of \$210,400. The promotional base salary is inclusive of any merit increases which may occur in 2011. This promotion was approved by the Chancellor on February 14, 2011.</p> <p>Reporting directly to the Senior Vice Chancellor-Finance and Administration, Ms. Hawkins is responsible for the following:</p> <ol style="list-style-type: none"> 1. Campus Life Services (CLS) – This function includes a broad array of primarily auxiliary services, including housing, childcare, transportation, fitness



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- and recreation, arts and events, conference centers, and retail services as well as documents and media, mail services, storage, surplus, storehouse, and receiving.
2. **Facilities Management (FM)** – FM manages campus building systems engineering, operations, maintenance, and custodial services staff and is responsible for establishing and maintaining the preventative and deferred maintenance program. The incumbent also manages utilities, including a 12-megawatt co-generation facility and Central Utility Plant and utility distribution systems that provide electricity (normal and emergency power), steam, and chilled water to the Parnassus Campus, as well as oversees utility services to the new Mission Bay campus, including the strategic planning and implementation of a Central Utility Plant at that site and managing relationships with Pacific Gas and Electric (P.G.&E.).
 3. **FAS Strategic and Administrative Services** – Oversees internal support functions for the overall FAS organization, including:
 - a. The Office of Strategy Management (OSM) which guides and supports FAS in developing and implementing strategic priorities in a coordinated manner.
 - b. FAS HR Shared Service Center which provides coordinated, shared departmental HR services for all FAS units and other campus units on a “subscription” basis.
 - c. FAS Finance Shared Service Center which provides departmental finance and related support services for all FAS units and other campus units on a “subscription” basis.

As outlined above, this position oversees an extremely large, complex, and diverse set of operations that employs about 1200 individuals and has annual operational expenses in excess of \$165M. After an extensive search, Ms. Hawkins emerged as the final candidate and was promoted from her position as UCSF Assistant Vice Chancellor-Budget and Resource Management to Associate Vice Chancellor-Campus Life, Facilities, and Administrative Services. This promotional annual base salary is approximately 4.1% below the mid-point of the MSP 9 grade range.



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Associate Vice Chancellor-Human Resources/Medical Center Chief Administrative Officer

<u>Compensation Element</u>	<u>Amount</u>	<u>Campus Comments</u>
Title and Scope of Responsibilities		<p>Title and scope change only: Title change from Medical Center Chief Administrative and Human Resources Officer to Associate Vice Chancellor-Human Resources/ Medical Center Chief Administrative Officer. With tri-reporting to Senior Vice Chancellor-Finance and Administration, Vice Provost-Academic Affairs, and the Medical Center Chief Executive Officer, Mr. Odato will assume the critical responsibility, as Associate Vice Chancellor-Human Resources (Associate Vice Chancellor-HR), of strengthening the delivery of high-quality human resources services across the entire UCSF campus. In addition to his Associate Vice Chancellor-HR role, Mr. Odato will continue to retain his current role as Chief Administrative Officer for the UCSF Medical Center.</p> <p>The creation of the Associate Vice Chancellor-HR position is a direct outgrowth of the UCSF Operational Excellence initiative, and the recommendations of that initiative's Academic Personnel and Staff Human Resources work group. The work group recommended, and campus leadership has approved, UCSF's transition to a consolidated HR services delivery model that unites the campus' widely dispersed Academic Personnel and Staff HR functions. It is estimated that the consolidated model will yield annualized savings between \$7 million and \$10 million when fully implemented.</p> <p>UCSF will incur substantial savings with the incorporation of the Associate Vice Chancellor-HR function into an existing position and will be spared from a costly recruitment for a full-time Associate Vice Chancellor-HR with subsequent expenditures related to moving, house-hunting, temporary housing, and ongoing expenses related to a full-time salary while taking advantage of the expertise offered by Mr. Odato.</p>
Annual Base Salary	\$319,000	No change in current compensation of \$319,000. No change in MSP grade 10 (formerly slotted at SLCG grade 108). The annual base salary is approximately 5.4% above the mid-point of the MSP 10 grade range.



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Clinical Enterprise Management
Recognition Plan (CEMRP)

\$ 47,850

No change in current CEMRP participation. Per policy, eligibility to participate in CEMRP at a target potential of up to 15 percent of base salary (\$47,850) and a maximum potential of up to 25 percent (\$79,750), dependent upon performance against pre-established goals and objectives.

SKINNER, CLIFFORD
Director-Medical Group Business Services
School of Medicine

UCSF

Compensation Element

Amount

Campus Comments

Annual Base Salary

\$195,000

Equity increase: Per policy, annual base salary increased by approximately 8.7 percent, from \$179,400 to \$195,000, based on market analysis and retention issues, effective December 22, 2010, as approved by the UCSF Compensation Committee.

As an exception to policy, subject to Chancellor's approval per the "Approval Authority Matrix," this equity increase was approved by the Chancellor on March 22, 2011, a retroactive corrective action of an inadvertent approval granted by the UCSF Compensation Committee on December 22, 2010, due to a miscalculation of total cash compensation. At the time of the December 22, 2010, approval, an associated stipend was not included in the total cash compensation figure which resulted in an amount less than \$214,000 (threshold at the time), subject only to UCSF Compensation Committee approval. Total cash compensation, with both annual base salary and stipend, actually exceeded the \$214,000 threshold and should have been approved by the Chancellor which was subsequently obtained on March 22, 2011. The annual base salary of \$195,000 is approximately 12.7% above the mid-point of the MSP 6 grade range.



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Reporting to the Vice Dean-School of Medicine, the Director-MGBS is responsible for the entire spectrum of the accounts receivable function for the School of Medicine departments currently billing through that organization. The primary activity is the billing and collection of the professional fees generated by the SOM departments.

Stipend

\$29,250

15% stipend extension effective 3/1/11-6/30/11 or until the existing project ceases at which time the stipend will end. The stipend was first implemented on November 1, 2010, through February 28, 2010, as approved by the UCSF Compensation Committee (total cash compensation at the time was less than the \$214,000 reporting threshold). The stipend continues to reflect responsibility as co-lead for pro-fee coding improvement project. Mr. Skinner's project responsibilities have been extended through June 30, 2011, with the caveat that, if the project ends before June 30, 2011, the stipend will also end at the completion of the project.

As approved by the UCSF Compensation Committee, when Mr. Skinner received an equity increase in December 2010, the stipend rate was adjusted from \$26,910 to \$29,250 to maintain the stipend/base salary ratio of 15%.

Exception to policy approval: Retroactive approval was obtained from the Chancellor on March 22, 2011, for annual base salary plus stipend to exceed current salary grade, while the stipend is active. This is an exception to PPSM 30.I-Salary/ Administrative Stipend for Temporary Assignments: "An administrative stipend may be paid to an employee who is temporarily assigned responsibilities of a higher level position or other significant duties not part of the employee's regular position. The sum of stipend and base salary shall not exceed the maximum salary of the higher level position." Annual base salary plus the stipend resulted in an annual salary of \$224,250; the maximum of the MSP grade 6 range is \$218,100.